



California Public Utilities Commission Committee on Finance and Administration



**Report on Strategic Directive 07
Compliance and Enforcement Initiative
November 28, 2018**



Purpose and Scope

Establish a policy that articulates a vision and provides guidance for CPUC's compliance and enforcement activities

CPUC enforcement programs should promote compliance with Commission rules. Achieving this goal requires us to review and strengthen our current programs in a number of ways, including the following:

- Ensure that instances of noncompliance are met with swift, certain and consistent responses
- Establish more uniform policies to guide the exercise of Commission's enforcement discretion
- Identify gaps in administrative tools and authorities & assess resource needs
- Prioritize enforcement efforts in areas of greatest threat to public safety
- Ensure that noncompliance incidents are consistently documented and made publicly available





Roadmap

ACTIONS TO DATE

- Documented existing policies and practice with each division
- Compiled table of citation authorities with brief descriptions and links to electronic documents
- Documented the different databases used by the divisions to track enforcement activities
- Drafted set of enforcement principles

NEXT STEPS

- Learn from internal and external experts
- Develop enforcement policy and guidance
- Create enforcement webpage publicizing CPUC enforcement tools & actions
- Develop systems and centralized database for reporting, tracking, managing, and archiving





Questions?

